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ABSTRACT

The manual provides supervisors with both a reference as they assist employees in writing descriptions and developing performance indicators and with a guide for conducting performance appraisal interviews with employees. It contains the basic guidelines for the operation of the performance appraisal system, discussing such matters as how often performance appraisals should be conducted, when position descriptions should be revised and the disposition of the forms. The document encompasses three separate guides: one on writing position descriptions, one for performance indicators, and one on conducting the performance appraisal interview. In addition, worksheets to be used in critiq ing responsibility and authority statements, a timetable, and a glossary are included. (Author/AG)

EMPLOYEE APPRAISAL SYSTEM

A Supervisor's Manual

State of Minnesota
Department of Personnel

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STATE OF MINNESOTA

Department of Personnel

EMPLOYEE PERFORMANCE APPRAISAL

(A Supervisor's Manual)

October, 1974

EMPLOYEE PERFORMANCE APPRAISAL
(A Supervisor's Manual)

The purpose of this manual is to provide a reference for supervisors as they assist employees in writing position descriptions and developing performance indicators. It also provides the supervisor with a guide for conducting performance appraisal interviews with employees.

The manual contains the basic guidelines for the operation of the performance appraisal system, discussing such matters as how often performance appraisals should be conducted, when position descriptions should be revised and the disposition of the forms.

This document encompasses three separate guides; one on writing position descriptions, one for performance indicators, and one on conducting the performance appraisal interview. In addition, the supervisor will find a section on guidelines for the employee performance appraisal system, a set of worksheets that should prove useful in critiquing responsibility and authority statements, a timetable, and a glossary.

It should be emphasized that the primary reason for employee performance appraisal is to assist in employee development. The intent of this manual is to provide enough structure for consistency, without stifling the individuality which all supervisors must exercise in the art of effective supervision.

TABLE OF CONTENTS

PERFORMANCE APPRAISAL
an informal introduction

Why will you like the Employee Performance Appraisal System?

To quote the Personnel Manager of one of Minnesota's largest companies: "Sitting down with an employee to compare his results with his goals sure beats patting him on the head, or yelling about his lousy attitude or trying to fill a forty-five minute evaluation vacuum with small talk."

Who needs a Position Description?

Everybody does.

Basically, a position description maps out your territory on the overall picture of state service---your areas of responsibility, your boundaries of control, and your vocational neighborhood.

You may consider your own position description to be a personal contract with your supervisor, in which, among other things, you agree to assume certain of his responsibilities, for which he delegates to you certain of his authorities.

Reviewing a subordinate's position description is an act of clarification. Each responsibility must have the authority to carry it out. By the time all the reviews are finished, all the necessary authorities will have been delegated, or the responsibilities will have been shifted to where the authorities lie.

What do Indicators Indicate?

Nobody wants a job without responsibilities, and Performance Indicators are simply responsibilities made measurable. What they do, really, is give you a way of proving you're doing as good a job as you know you are.

How to put all this to work for you will be found in the following pages.

Read on..........

Guidelines for Operation of the Employee Performance Appraisal System

The following is a review of policies pertaining to performance appraisal. These guidelines are designed to acquaint you with the functional requirements of the system.

Position Descriptions

Once a position description has been completed and approved, both the supervisor and employee should retain a copy. The original and the remaining carbon copy should be submitted to the departmental personnel office. They will retain the original and forward the extra copy to the Department of Personnel where it will serve as the basis for revisions of classification specifications and the identification of content areas for the preparation and/or revision of entrance exams.

Position descriptions will also be employed in the review of requests for job reallocation and in promotability reviews of staff in the junior-senior series. They will replace the current "classification questionnaires," and will serve to demonstrate successful completion of a probationary period.

Finally, position descriptions will provide informational input for determination of salary ranges for top management positions designated by the Manager of Classification and Compensation.

The position description should reflect changes in the job. When job duties are altered, or the organization is restructured, or simply in the course of the appraisal process, it may become obvious that the description requires changes. Also, new employees should rewrite existing position descriptions once they become conversant with their work. If none of these situations apply, the position description should be reviewed every two years to ensure that it adequately reflects the entire range of job activities. This review can be readily incorporated into the regular appraisal interview.

Performance Indicators

During the appraisal period, the employee should retain one copy of the Performance Appraisal Form. The remaining two copies are to be retained by the supervisor.

At the close of the appraisal period, when the interview has been completed, the employee should retain one completed copy of the Performance Appraisal Form. The second copy should be on file with the supervisor, and the third copy forwarded to the departmental Personnel Office. This copy will be a factor in promotional examinations during the next appraisal period.

Performance Appraisal

The appraisal period for permanent employees is approximately one year in length; it begins with the Performance Indicators conference and ends when the Appraisal Interview is complete. Permanent employees must receive at least one appraisal per year.

The length of the appraisal period for probationary employees is dependent upon the probationary period (Minnesota Statute now allows the Commissioner of Personnel to set probationary periods of varying duration, from 30 days to two years in length.)

The following rules and guidelines will apply:

1. The performance appraisal system shall be based on position descriptions and performance indicators in the format prescribed by the Department of Personnel.
2. Employees in the classified and unclassified service shall be evaluated and counseled on work performance at least once each year, and the record of this evaluation shall be kept on file in the form prescribed by the Department of Personnel.
3. Salary increases given for satisfactory or outstanding performance shall be based primarily on such evaluations.
4. Performance indicators shall be specific, measurable, and related to quality and quantity of work performed.
5. Performance appraisals shall be conducted by department designees who are familiar with both the person and his job, usually the employee's supervisor.
6. Performance appraisals shall be used for counseling, and for identifying development needs.
7. A copy of each employee's performance appraisal shall be available to the Commissioner of Personnel upon request.
8. Every probationary employee shall receive a minimum of two appraisals during the probationary period, unless otherwise specified by Personnel Rules.
9. One appraisal should take place during the final 30 days of the probationary period.
10. For probationary periods greater than 60 days, only one appraisal should be in the final 30 days.
11. For probationary periods longer than one year, there shall be three appraisals: one during the sixth month, one in the twelfth month, and one during the final 30 days.
12. Initial probationary appraisals should be informal, need only be summarized by memoranda or a short narrative, and should be the time when position descriptions and performance indicators are finalized for the remainder of the probationary period.

A GUIDE FOR WRITING POSITION DESCRIPTIONS

The Position Description should consist of five parts: Position Purpose, Reportability and Dimensions, Principal Responsibilities, Authority, and Nature and Scope. Each of these will be explained below.

1. Position Purpose

   This is a concise, one sentence statement giving the purpose served by the position, or the reason for its existence. What service or product would be missing if this position did not exist? There should be no attempt to insert detailed description into this statement. Think, "This position exists:" to . . . .

   Example: To provide technical assistance and training to Child Development Center staffs, committees and boards.

2. Reportability and Dimensions

   a) Reportability refers to those positions to whom you must report and those who report directly to you. This subsection should include the classification title of the supervisor to whom you report directly and the number of positions (with classification titles) that report to you.

   Examples: 1) Reports to: Director of ____________________

   2) Supervises: 1 Senior Field Representative
   3 Field Representatives
   1 Clerk Typist, Intermediate

   b) Dimensions refers to measurable aspects of the position. You should include as a dimension only that which you control, or upon which you have a direct impact through your actions. The clientele, or people who are affected by your work should be mentioned.

   Examples: 1) Principal clientele: 40 child development centers throughout State of Minnesota

2) Each child development center averages:

14 board members

30 parent committee members

10 staff members

3) Central staff budget: $110,000

a) personnel expense: $ 90,000

b) Administrative: $ 20,000

Include in the dimensions section a description of number of telephone calls, applications received, etc. only if their quantity serves as a relevant indicator of the magnitude of the job.

3. Principal Responsibilities

The Principal Responsibilities statements should describe those major areas for which your position is responsible.

For the purposes of this form, a responsibility statement should be thought of as a statement of a general activity which must be performed in order to achieve a broad end result. Both the activity and the end result must appear in each Principal Responsibility statement. (The general activities clauses will later be broken down into specific authorized actions, and the end results clauses into measurable performance standards).

Excessive detail should be avoided. Begin each statement with "to" and a verb. Think, "It is my responsibility:" to . . . .

Example: To provide training sessions for Center staff so that they will understand and utilize uniform reporting instruments.

A typical position description will have between six and ten principal responsibility statements.

4. Authority

In order to accomplish the responsibility described above, the position must have the necessary authority to carry it out.

Authority statements relate to the general activity clauses in the responsibility statements. They describe the specific actions which may be undertaken (including decisions which may be made), without consulting someone at a higher level. These statements should be quite specific, and all aspects of the job shou'd be discussed.

There must be at least one authority for each responsibility, but a single responsibility may require several authority statements to allow its completion. A large number of authority statements for a single principal responsibility suggests excessive detail, or that the principal responsibility itself should be reviewed and rewritten as two principal responsibilities. As a rule of thumb, the number of authority statements that correspond to a principal responsibility will be between one and four. Think, "I am authorized:" to . . . .

Examples:
a. To assign a Field Representative to develop and present training sessions.
b. To acquire adequate training facilities in which to conduct the sessions.
c. To purchase equipment which will facilitate training.

Through these statements, part of the authority is provided to carry out the responsibility example in the previous section.

In the third authority statement, we see that only the broadest of limits have been placed on the authorization. A narrower authority statment would have been written

to define a more limited power. For example: To purchase equipment up to a maximum cost of $10.00 per training session. In the course of employee development, the position description would probably contain the narrower authority statement until the ability to plan and to budget wisely has been demonstrated; at which time the broader statement could be substituted.

It is natural for a person to be uncertain of the limits of authority unless he has completed a position description and/or discussed the matter with his supervisor. Remember, a job must have the authority to carry out the designated responsibilities.

5. Nature and Scope

There are four factors which should be discussed in the nature and scope section. They are, the relationship of your jobs to those around it, the skills, knowledges, and abilities necessary to do the job, the problem solving involved and your freedom to act. Minute detail should be avoided in this section and it should be limited to about one page.

One of the first factors to discuss is the relationship of this position to the organization as a whole. For example, identify committees served on (their title and/or purpose): discuss the coordination and cooperation of this position with others around it; tell why these interactions are necessary, and what authority the incumbent exercises here (Chairman, Secretary, etc.); describe how information needed for the smooth operation of this position and those around it is transmitted. Also include contacts in and out of state government and their purpose.

The second area that should be covered is the nature of technical, managerial and human relations skills, knowledges, and abilities used in this position.

The discussion should demonstrate: whether these skills are used directly or are necessary for effective supervision, the extent to which technical skill and experience gained plays a more important part than budgeting and planning, whether human relations skills are essential to the job, and the presence of licensure, if any. Give elements of the position that require these skills, knowledges and abilities. Cite the most difficult aspect of the position.

The third area to discuss in this section is the nature of your problem solving activities. Briefly state the key problem area or areas with which your position deals. Give examples of the types of problems found here. Include the variety of problems solved in this position and your greatest opportunity for creativity and innovation. State the types of problems you solve directly and those which you must refer to higher authority. If different from your key problem area, state the problem area in which most of your time is spent.

The final area to be covered in this section is freedom to act. Include in this section the frequency of reporting to supervisor and what types of reports you provide (informational only, submitted for approval, or whatever). Describe the nature of the externally imposed controls on your independent action. What is the highest level of action or decision making that can be taken without review?

Once the position description has been completed, its contents are to be reviewed and discussed with your supervisor; however, the final approval of the description rests with the supervisor. The discussion may result in changes and re-drafting, so do not be disappointed if the first draft must be rewritten.

Pers. 255A

Position Description Form for the State of Minnesota
Department of Personnel

Name of Employee: ______________________ Position Control Number: ______________________

Position Title: ______________________ Classification Title: ______________________

Department: ______________________ Prepared by: ______________________

Employee's Signature: ______________________ Date: ______________________

Supervisor's Signature: ______________________ Date: ______________________

Employee's Anniversary Date: ______________________

Position Purpose:

16

Reportability and Dimensions:

Reportability

Reports to:

Supervises:

Dimensions

Pers. 255B

Department of Personnel

Name of Employee: ______________________________ Position Control Number: ______________________________

Principal Responsibilities:	Authorities:

Department of Personnel

Name of Employee: ______________________ Position Control Number: ______________________

Nature and Scope
Relationships:

Skills, Knowledges, and Abilities:

Problem Solving:

Freedom to Act:

A Guide for Critiquing Responsibilities and Authorities

The following two pages are an optional exercise for managers, designed to assist them in getting an overall view of their organizational triangle. These worksheets can provide an easy method for determining gaps and overlaps in the responsibilities and authorities of individuals in a unit. They can also serve as a quick reference to which staff members have responsibility in a given area. This is especially helpful to the supervisor who has more than one person working on a single activity, by pointing out duplication of effort or conflict of authority.

Responsibility Worksheet

Transfer the Principal Responsibilities from your position description to the top horizontal column labeled "Supervisor's Principal Responsibility Areas." Then fill in the names of your staff members in the far left hand column. The final step is to compare your staff's responsibilities, as stated in their own position descriptions, with your responsibilities. To do this, study each person's responsibility statements and match them to the responsibility areas you have enumerated. When you find the area which corresponds to the employee's responsibility statement, note this in the appropriate column opposite the employee's name. Either the number of the responsibility (from the employee's position description) or a brief description may be used. The same process is then followed for each responsibility of each employee.

By simply glancing down the columns, you can now pinpoint those responsibility areas where there is duplication of effort or where there is too little staff responsibility. Probably no staff member will have a responsibility statement for each of the supervisor's responsibility areas; and only in rare instances would an employee have a responsibility statement concerning an area where the supervisor has no responsibility.

Authority Worksheet

The same basic process outlined above is followed with the Authority Worksheet. Transfer your authorities to the top column; list your subordinates' names on the far left; and match up their authority statements (by number or short description) with your own. At no time should the authority of a staff member exceed that of the supervisor. If this occurs, you know that you have not stated your authority clearly or broadly enough or that the employee has overstated his own.

Along with the benefits previously mentioned, these worksheets can help you critique the position descriptions of your subordinates. Using the worksheets as a reference, you can ensure that the position descriptions reflect the actual responsibilities and authorities which you have assigned to each individual.

Responsibility Worksheet

These are the principal responsibilities as found on staff members' position descriptions. Each responsibility statement on the employee's position description is identified with a number. When you find an employee's responsibility statement which corresponds to one of yours, enter the number in the appropriate box on the worksheet.

*These are the principal responsibilities as written in the supervisor's position description. They should be transferred from that document to the top row of this worksheet.

		SUPERVISOR'S PRINCIPAL RESPONSIBILITY AREAS*					
	Staff Members	1	2	3	4	5	6
STAFF MEMBERS' PRINCIPAL RESPONSIBILITIES**							

Authority Worksheet

**These are the staff members' authority statements that should be compared to the supervisor's authority in a particular responsibility area.

*These are the supervisor's authorities which should be taken off the position description and placed in the same column as the responsibility to which they relate.

	Staff Members	SUPERVISOR'S AUTHORITIES*					
		1	2	3	4	5	6
STAFF MEMBERS' AUTHORITIES**							

SUGGESTED USES OF THE E.P.A. SYSTEM WORKSHEET

A completed Worksheet will provide an invaluable resource, in simple terms, from which most of the data required by E.P.A. Forms can be mined and then refined into the prescribed language.

Step 1 provides a list of the tasks, or sub-activities, which make up individual activities in any one area of your work.

Step 2 reports whatever end results are being achieved in this area through the use of these tasks. This step provides data for the "Past or Comparable Achievement Data" column of the "Performance Appraisal Form for the State of Minnesota."

Step 3 will include whatever objectives in this area your supervisor has shared with you for the next appraisal period, plus whatever other results you think you should or could achieve. This data can provide the material for the end result clauses of the Responsibility statements in your Position Description. If the Worksheet is being used only as a tool for the preparation of the Performance Appraisal Form, Step 3 should logically <u>reflect</u> the end result clauses in your Position Description.

Step 4 will provide or reflect the activity clauses of the Responsibility statements in your Position Description. These may be expanded into Strategies, on the reverse sides of your Performance Appraisal Form, if your position calls for strategic planning.

Step 5 will become your major resource when you are ready to record Performance Indicators.

E.P.A. SYSTEM WORKSHEET

Your position involves you in many activities in various areas (such as training, monitoring, developing programs, maintenance, planning, etc.).

Use a different worksheet for each area.

In the area of ____:

1. What do I do now?

2. What is being accomplished by what I do? (Current and/or past results of what I have been doing.)

3. What accomplishments will be expected next year? (Desired end results) "These effects of my work performance should be apparent in the next year:"

4. How can I accomplish this? (Possible activities--strategies) "It will be necessary for me (to do the following)": to

5. How will I be able to measure the accomplishment? (Performance indicators--statement of specific measurable conditions which will prevail if the desired end result is achieved).

Performance Indicators are the heart of the appraisal process. They generate employee planning, provide a means of testing the results of plans and strategies, lead to objective appraisals, and pin-point areas in which employees could benefit from a development plan.

A Performance Indicator is a measurable statement of a specific condition which will prevail, at a designated time in the future, if a Responsibility is properly carried out.

TO ADMINISTER CHEMICALS TO BOILERS SO THAT <u>WATER WILL NOT BECOME CORROSIVE</u>.

The above is a Responsibility statement. The underlined portion is the End Result clause.

THERE WILL BE NO INSTANCE OF BOILER DAMAGE DUE TO CORROSION BETWEEN NOW AND THE END OF THIS APPRAISAL PERIOD (SEPT. 1, 197__).

This is a Performance Indicator. It provides a method of determining whether or not that Responsibility's desired End Result is achieved within a required time frame. Verification of this Indicator on Sept. 1, 197__ will so indicate.

There are other ways to detect the presence of corrosive elements, of course, and if it is feasible to use them, these may be incorporated in other Indicators for

that Responsibility.

Performance Indicators are written in the future tense.

They must:

be RELATED TO A RESPONSIBILITY END RESULT

be SPECIFIC and MEASURABLE

be ATTAINABLE

and CONTAIN A TARGET DATE

(if costs are relevant, add "Cost will not exceed $______________.")

A Performance Indicator may be:

FACTUAL--a statement of exactly what is expected, or

COMPARATIVE--a statement of how results are expected to compare with results achieved in the past, or with results being achieved by others;

and it may be:

POSITIVE--a statement of those results you know you want, or

NEGATIVE--a statement of results you know you do <u>not</u> want.

To write Performance Indicators, the employee will find it valuable to have his E.P.A. System Worksheets and his Position Description at hand, as well as the Performance Appraisal Form for the State of Minnesota.

In the first column of the Performance Appraisal Form (Resp. No.) write the number of the Responsibility in the Position Description, for which you are developing an Indicator.

In the second column (Past or Comparable Achievement Data) record facts and figures found in Step 2 of the Worksheet relating to this Responsibility area, or include any pertinent data from outside sources with which you wish your Indicators to be compared. After the first year, data for recurring Responsibilities, to be included in this column, may be found in the "Results Achieved" column of the previous year's Performance Appraisal Form.

In the third column (Performance Indicators), write the Indicators for this Responsibility. Much of the information needed should be found in Step 5 of the Worksheet for this area. It will probably be necessary, however, to rewrite them, in the manner prescribed earlier in this Guide, to bring them into conformity with the requirements of the system (written in future tense, related to an end result, specific, measurable, attainable, and contain a target date).

Each Indicator should be followed by a priority letter.

(A) will mean first priority. It is essential that these indicated results be achieved.

(B) will mean that this must be achieved, but A Indicators take precedence.

(C) priorities should be accomplished, but never at the expense of A's or B's.

The reverse sides of the Performance Appraisal Forms are to be used by those employees who are required to develop strategies, as part of a planning process, and milestones as a method of maintaining a close continuing control of their activities. The basic ingredients for this exercise will be found in Step 4 of the Worksheet.

The examples which follow include complete Responsibility statements, for the sake of clarity.

EXAMPLE

PERFORMANCE APPRAISAL FORM (SAMPLE)

RESPONSIBILITY NUMBER (from Position Description)	PAST OR COMPARABLE ACHIEVEMENT DATA	PERFORMANCE INDICATORS (include Priority Letter A, B, or C)	RESULTS ACHIEVED	THIS SPACE FOR SUPERVISOR'S COMMENTS
1. To provide training sessions for Center staff so that they will understand and utilize uniform reporting instruments.	1. At the present time, Center staff are rejecting the uniform reporting instruments distributed to them last February, because they do not understand the terminology. They have been substituting instruments developed by themselves, most of which fail to include sufficient information.	1. Staff at all Centers will be using the uniform reporting instruments by January 1, 197__. (A) (This is a Factual-Positive Indicator)		
2. To provide training and technical advice on state, regional, and federal guidelines, so that Child Development Centers comply with them.	2. Only about forty percent of our Centers are now in compliance, due mainly to lack of experience and understanding, while Centers in the private sector, which have been operating under these guidelines for a much longer period of time, show a compliance rate of about 75%.	2a. At least 25% more Centers will be in compliance with guidelines by January 1, 197__. (A) (This is Comparative-Positive) b. By June 1, 197__, the percentage of Centers in compliance with guidelines will be equal to the percentage of compliance in the private sector. (C) (Comparative-Positive) c. By August 1, 197__, there will be no Centers which fail to comply with applicable guidelines. (B) (Factual-Negative)		

rs. 256A

PERFORMANCE APPRAISAL FORM FOR THE STATE OF MINNESOTA
Department of Personnel

Classification ______________________

Position Title ______________________

Employee ______________________

Supervisor ______________________

Date Performance Indicators Approved ______________________

Employee's Signature ______________________

Supervisor's Signature ______________________

Position Control Number ______________________

Department/Division ______________________

Appraisal Period ______________________

Date Results Achieved Submitted to Supervisor (two weeks before end date above) ______________________

Date Reviewed ______________________

RESP. NO. (From P.D.)	PAST OR COMPARABLE ACHIEVEMENT DATA	PERFORMANCE INDICATORS	RESULTS ACHIEVED	THIS SPACE FOR SUPERVISOR'S COMMENTS
1.	1.	1.	1.	1. ☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement
2.	2.	2.	2.	2. ☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement

_____ _____ PLANNING SCHEDULE: _____ TO _____

OBJECTIVE (refer to evaluation form-abbreviate if necessary)	CHECK POINTS-STEPS TO ACCOMPLISH TO ENSURE MEETING OBJECTIVE (If selected steps are to be delegated, or shared, designate the individual after the step)			
	Quarter Ending _____	Quarter Ending _____	Quarter Ending _____	Quarter Ending _____

's. 256B

Department of Personnel

loyee ____________________ Position Control Number ____________________

RESP. NO. (From P.D.)	PAST OR COMPARABLE ACHIEVEMENT DATA	PERFORMANCE INDICATORS	RESULTS ACHIEVED	THIS SPACE FOR SUPERVISOR'S COMMENTS
				☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement
				☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement
				☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement
				☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement

E ____________________ PLANNING SCHEDULE: __________ TO __________

OBJECTIVE (refer to evaluation form-abbreviate if necessary)	CHECK POINTS-STEPS TO ACCOMPLISH TO ENSURE MEETING OBJECTIVE (If selected steps are to be delegated, or shared, designate the individual after the step) Quarter Ending ______	Quarter Ending ______	Quarter Ending ______	Quarter Ending ______

32

rs. 256C

Department of Personnel

ployee ______________________ Position Control Number ______________________

RESP. NO. (From P.D.)	PAST OR COMPARABLE ACHIEVEMENT DATA	PERFORMANCE INDICATORS	RESULTS ACHIEVED	THIS SPACE FOR SUPERVISOR'S COMMENTS
				☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement
33				☐ Exceeds Indicators ☐ Reflects/Approximates Indicators ☐ Needs Improvement

(The remainder of this page is for Supervisor's use only)

POTENTIAL:

DEVELOPMENT PLAN:

REVIEW:

INTERVIEW:

Date Appraised ______________

(Signatures)

Employee ______________

Supervisor ______________

ME ______________________ PLANNING SCHEDULE: ________ TO ________

OBJECTIVE (refer to evaluation form-abbreviate if necessary)	CHECK POINTS-STEPS TO ACCOMPLISH TO ENSURE MEETING OBJECTIVE (If selected steps are to be delegated, or shared, designate the individual after the step)			
	Quarter Ending _____	Quarter Ending _____	Quarter Ending _____	Quarter Ending _____

SUPERVISOR'S GUIDE FOR CONDUCTING EMPLOYEE PERFORMANCE APPRAISALS
(Performance Indicators Conference, Check-off, Review, Interview, and Follow-up)

Position Description Agreement and Performance Indicators Deadline

During the meeting, between supervisor and employee, at which the employee's final draft of his "Position Description" is approved, the supervisor should establish a Performance Indicators conference deadline, to ensure the implementation (and sequential completion) of the appraisal process.

At this time, the supervisor should discuss with the employee how to write Performance Indicators. A blank copy of the "Performance Appraisal Form" should be available, not to be filled out at the time but for purposes of illustration. The supervisor should be assured that the employee understands the instructions and that the scheduled deadline can be met.

The Performance Indicators prepared by the employee for discussion with the supervisor should not be entered on the form until they are finalized. The purpose of discussing the form at this time in the process is to make both parties familiar with it, thus removing some of the apprehension which might otherwise exist in the mind of the employee.

It should be clearly understood by the employee that he must have arrived at Performance Indicators for his position prior to the appointed date, and he should bring these to the conference.

(Supervisors should take into consideration the length of time necessary to write Indicators for the more complex responsibilities of some positions, and set deadlines accordingly.)

Performance Indicators Conference

In the course of the Performance Indicators conference, during which some negotiating will probably occur before concurrence is reached and approval granted, the supervisor must establish the beginning and ending date for the appraisal period, and enter them in the appropriate blanks on the employee's "Performance Appraisal Form", as well as the Date Performance Indicators Approved, if they were, indeed, approved at this session.

At the conclusion of the conference, one copy of the "Performance Appraisal Form" should be returned to the employee. The supervisor should retain a copy for his own use during the appraisal period.

Results Achieved Deadline

Also at this time, the supervisor and employee should agree upon, and note on their calendars, a date, approximately two weeks before the end date of the appraisal period, on which the employee must re-submit his copy of his "Performance Appraisal Form", to the supervisor, with the Results Achieved column completed.

Appraisal Period

The appraisal period will normally be of one year's duration, except for probationary employees whose evaluation periods are set by Personnel Rule (which should be consulted, in these cases). The beginning date should be the same as the Date Performance Indicators Approved.

Periodically during the appraisal period, the supervisor should informally check with each employee to determine what progress is being made toward reaching the Performance Indicators by the target date. If problems have occurred, this will allow time to assist the employee in overcoming them.

As soon as possible, after receiving the employee's re-submitted "Performance Appraisal Form", the supervisor should prepare for the Appraisal Interview by re-examining the Responsibilities and Performance Indicators sections, and then analyzing the entries in the Results Achieved column. Unless the supervisor questions the credibility of these entries, his comments in the Check-off column may simply consist of labels, such as "Weakness" or "Strength" for each recorded result. The Check-off column may, however, be used in any way which facilitates the supervisor's appraisal of the employee.

(In those cases in which the supervisor may question some of the Results Achieved items, he is free, of course, to recall the employee into conference, or pursue whatever other course he deems appropriate).

As part of the Check-off process, the supervisor should note, in the spaces provided at the end of the form, his estimate of the employee's potential for advancement in the organization to the next position that the employee can logically be considered for. Plans for development of this potential should be stated in the section marked "Development Plan". Room should be left for any changes or additions that emerge from the later review process.

Turn to the "Performance Appraisal Form".

Fill in date Check-off completed by Supervisor.

Review

Once the Check-off process is completed, the supervisor should, without delay, take the employee's completed "Performance Appraisal Form" to his own super-

visor, for review. The review helps to objectify the evaluation and may add new ideas and/or resources in the area of employee development. These revisions or additions should be noted on the "Performance Appraisal Form".

Returning to the "Performance Appraisal Form", fill in Date Reviewed.

The Appraisal Interview

Following the review, the supervisor should promptly notify the employee of a date and time for the Appraisal Interview, allowing sufficient time for preparation (normally one week), ensuring privacy by judicious choice of a location, and scheduling a time convenient for the employee.

Experience has proved that it is usually best to begin the Appraisal Interview with a discussion of the employee's strengths, which the supervisor will have noted in the Check-off column. Discussion of weaknesses should be limited to two or three instances, and should lead directly to a revelation of whatever tentative development plan the supervisor has worked out for the employee. Reference to the subject of potential is left to the supervisor's descretion.

One result of the Appraisal Interview may be the necessity to revise some of the employee's Performance Indicators and possibly, working backwards from these, a re-assessment of his Responsibilities and, consequently, Authorities. If this is the case, the supervisor should establish an early date for the employee to submit a draft of his revised "Position Description" and recommence the appraisal process from that point.

If only the Performance Indicators need revision, the supervisor must set a date for a Performance Indicators conference, within ten working days.

In any event, the next appraisal period would logically begin on the date the present one concluded. The employee must be asked to prepare new drafts of his

Performance Indicators, and a new conference must be scheduled.

Follow-up

At the conclusion of the performance appraisal session, a development plan will have been established. The supervisor should then put the development plan into effect by completing any training requisitions or other forms that may be necessary.

The supervisor should keep informed as to each employee's progress on the development plan during the following appraisal period.

Disposition of Form

The employee should retain his copy of the "Performance Appraisal Form for the State of Minnesota"; the supervisor's copy should be filed for reference, together with the position description; and the final copy must be forwarded to the departmental Personnel Office.

TYPICAL TIMETABLE FOR THE APPRAISAL PROCESS

July -- MANAGERS share their annual unit objectives with their supervisory staff.

August -- SUPERVISORS prepare their annual unit objectives.

Sept. 1 -- EMPLOYEE and SUPERVISOR -- Appraisal Interview.

This marks the end of the annual Appraisal Period, and the beginning of a new one.

Before the conclusion of the Interview, Supervisor shares the unit's annual objectives with the Employee and discusses those responsibilities which the Employee must assume to assure their accomplishment.

At this time, a deadline must be established (about two weeks from this date) for submission and discussion of a rough draft of the Employee's new Responsibilities and Authorities, and/or any other Position Description items which must be changed.

Sept. 2 - 14 -- EMPLOYEE -- Rewrite Responsibilities and Authorities, for presentation to Supervisor.

Sept. 15 -- EMPLOYEE and SUPERVISOR -- Discuss and negotiate new Responsibilities and Authorities. Establish deadline (about 1 week) for submission and discussion of final draft of Responsibilities and Authorities.

Sept. 16 - 21 -- EMPLOYEE -- Prepare final draft of Responsibilities and Authorities, for presentation to Supervisor.

Sept. 22 -- EMPLOYEE and SUPERVISOR -- Concur on final draft of Responsibilities and Authorities. Establish deadline (about 3 weeks) for submission and discussion of rough draft of Employee's new Performance Indicators.

Sept. 23 - Oct. 14 -- EMPLOYEE -- Prepare rough draft of Performance Indicators, for presentation to Supervisor.

Oct. 15 -- EMPLOYEE and SUPERVISOR -- Discuss and negotiate Employee's new Performance Indicators. Establish deadline (about 2 weeks) for submission and discussion of final draft of Indicators.

Oct. 16 - 29 -- EMPLOYEE -- Prepare final draft of Performance Indicators, for presentation to Supervisor.

Oct. 30 -- EMPLOYEE and SUPERVISOR -- Concur on final draft of Employee's Performance Indicators. Establish a deadline (about 10 months from this date) for submission and discussion of Results Achieved.

(Unless the Employee's Appraisal Interview falls within the 3-month period preceding his Anniversary Date, it is well to establish an interim, milestone, date for Results Achieved, preferably within the month before said Anniversary. This will enable the Supervisor to review progress toward accomplishment immediately before submitting yearly recommendations on the status of the employee.)

July 1 -- SUPERVISOR -- Remind Employee of Results Achieved deadline.

July 2 - 28 -- EMPLOYEE -- Compute and record Results Achieved, for presentation to Supervisor.

August 1 -- SUPERVISOR -- Receive Results Achieved.

August 2 - 21 -- SUPERVISOR -- Consider Results Achieved.
Accomplish Check-off, and establish a tentative "Development Plan" (see Performance Appraisal Form).

August 22 - 31 -- SUPERVISOR -- Complete Review phase with own Supervisor, and establish "Potential" (see Form).

<u>Sept. 1</u> -- EMPLOYEE and SUPERVISOR -- Appraisal Interview.

E.P.A. GLOSSARY

Ability--The present power to perform a function, physical or mental.

Appraisal Interview--Meeting between the supervisor and employee at which they discuss the strengths and weaknesses of the employee as brought out in the comparison of the employee's performance and his performance indicators.

Appraisal Period--The time between the employee's last performance appraisal and his upcoming one. Usually about one year.

Authority--To accomplish the results for which it is responsible, a position must have the necessary authorities to carry them out. Authority statements relate directly to the general activity clauses in the Principal Responsibilities statements. Each Authority statement describes a specific action which may be taken (including decisions which may be made), without consulting someone at a higher level.

Check-off--The comparison of Performance Indicators with results achieved as stated by the employee. (At this point the supervisor notes strengths and weaknesses.)

Dimensions--The measurable aspects of the position upon which the incumbent has direct impact, including budget and clientele.

End Result--That part of a responsibility statement which tells the desired affect of the activity performed.

Freedom to Act--A section in the Nature and Scope part of the position description. Details the parameters within which the incumbent is free to make decisions.

Knowledge--An understanding of facts or principles relating to a particular subject or subject area.

Nature and Scope--The final part of the position description. It is a narrative description of certain aspects of the job.

Performance Indicators--Basically a restatement of the "end result" clause in a Principal Responsibility statement, expressed in measurable terms. Besides being specific (measurable), each Indicator should contain a target date for achievement, and must be reasonably attainable.

Position Purpose--A concise, one-sentence statement giving the purpose served by the position, or the reason for its existence. What service or product would be missing if this position did not exist? There should be no attempt to insert detailed description into this statement.

Principal Responsibilities--Statements of general activities which must be performed in order to achieve broad end results. Both the activity and the end result must appear in each Principal Responsibility statement. (During the appraisal process, general activities clauses will be broken down into specific authorized actions, and the end result clauses into measurable performance indicators.)

Problem Solving--A section in Nature and Scope which addresses itself to the problems of the position and the way in which they are solved.

Relationships--How your position interacts with those around it.

Reportability--Those positions which report directly to you and those to whom you must report.

Review--The meeting between the supervisor and his supervisor to discuss the evaluation of an employee.

Skill--The ability to perform physical acts with ease and precision.